

**U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION & REHABILITATIVE SERVICES  
OFFICE OF SPECIAL EDUCATION PROGRAMS  
WASHINGTON, D.C. 20202**

**FISCAL YEAR 2002  
APPLICATION FOR NEW GRANTS UNDER THE  
INDIVIDUALS WITH DISABILITIES EDUCATION ACT (IDEA)**

**RESEARCH AND INNOVATION TO IMPROVE SERVICES AND  
RESULTS FOR CHILDREN WITH DISABILITIES (84.324)**

**DIRECTED RESEARCH PROJECTS  
(CFDA 84.324D)**

**MODEL DEMONSTRATION PROJECTS FOR CHILDREN WITH DISABILITIES  
(CFDA 84.324T)**



**DATED MATERIAL - OPEN IMMEDIATELY  
CLOSING DATE: SEE ENCLOSED CHART LISTING THE CLOSING DATE**

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Important Notice to Prospective Participants in USDE Contract and Grant Programs

Notice to All Applicants: The Government Performance and Results Act (GPRA)

Dear Applicant:

This application packet contains information and the required forms for you to use in submitting a new application for funding under one program authorized by the Individuals with Disabilities Education Act (IDEA). This packet covers two competitions under the Research and Innovation to Improve Services and Results for Children with Disabilities (CFDA 84.324) program. A chart listing pertinent information, including the closing date for the competition, can be found on page B1 of this package.

An application for an award must be: (1) hand-delivered, submitted electronically, or mailed by the closing date; and, (2) have an original signature on at least one copy of the assurances and certifications (Part IV of the application form). It is also important to include the appropriate Catalog of Federal Domestic Assistance (CFDA) numeric and alpha in Item #3 on ED Form 424 (e.g., CFDA No. 84.324D).

Please note the following:

- **APPLICATION SUBMISSION**. Based on the precautionary procedures the U.S. Postal Service is using to process mail, we are experiencing delays in the delivery of mail to the Department. Therefore, you may want to consider sending your application by overnight courier or submitting your application electronically.
- **MAXIMUM AWARD AMOUNT**. In addition to providing detailed budget information for the total grant period requested, the competitions included in this package have a maximum award amount. Please refer to the specific information for the priority/competition to which you are submitting an application (i.e., Section C of this package). Please be advised that for the priorities in this package, the maximum award amount covers all project costs including indirect costs.
- **STRICT PAGE LIMITS**. The competitions included in this package limit the Part III Application Narrative to a specified number of double-spaced pages. This page limitation applies to all material presented in the application narrative -- including, for example, any charts, tables, figures, and graphs. (Please refer to the specific requirements on page limits for the priority/competition to which you are submitting an application - i.e., Section C of this package). The Department will reject, and will NOT consider an application that does not adhere to the page limit requirements for the competition.
- **FORMAT FOR APPLICATIONS**. Please note that additional information regarding formatting applications has been included on Pages D-3 and 4 of the "General Information on Completing An Application" section of this package.
- **PROTECTION OF HUMAN SUBJECTS IN RESEARCH**. The discretionary grant Application Form 424 requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period. The Protection of Human Subjects in Research Attachment is an integral part of the ED 424 form. It includes

information that applicants need to complete the protection of human subjects item and, as appropriate, to provide additional information to the Department regarding human subjects research projects. Additional information on completing the protection of human subjects item is also available and can be accessed on the INTERNET at:

<http://ocfo.ed.gov/grntinfo.htm>

<http://ocfo.ed.gov/humansub.htm>

- **RESPONSE TO GPRA.** As required by the Government Performance and Results Act (GPRA) of 1993 OSEP has developed a strategic plan for measuring GPRA performance. Each program included in this announcement is authorized under Part D National Programs of the Individuals with Disabilities Education Act. A copy of the Part D GPRA plan is included in this package. In addition, OSEP has developed a website (<http://www.air.org/gpra/newhome.htm>) with GPRA information including instruments used to evaluate our indicators. Applicants are encouraged to consider this information as applications are prepared.
- **COPIES OF THE APPLICATION.** Current Government-wide policy requires that an original and three copies need to be submitted. OSEP would appreciate receiving two additional copies to facilitate the peer review process. This would mean AN ORIGINAL AND FIVE COPIES (six applications in all).

A program officer is available to provide information to you regarding these competitions. Please refer to the name of the program contact at the end of each priority description. For information about other U.S. Department of Education grant and contract opportunities, we encourage you to use the Department's grant information web page which can be accessed on the INTERNET at:

<http://www.ed.gov/offices/OCFO/gcsindex.html>

We appreciate your efforts to improve the provision of services for individuals with disabilities.

Sincerely,

Louis C. Danielson, Ph.D.  
Director  
Research to Practice Division  
Office of Special Education  
Programs

APPLICATION NOTICE FOR FISCAL YEAR 2002

CFDA Number and Name	Applications Available	Application Deadline Date	Maximum Award (per year)*	Estimated Range of Awards	Estimated Average Size of Awards	Estimated Number of Awards	Project Period	Page Limit**
84.324D Directed Research Projects Broad Focus Area A -- Access to Learning	06/19/02	07/22/02	\$180,000	\$152,000 – \$180,000	\$179,000	10	Up to 36 mos.	50
Broad Focus Area B -- Accountability and Reform						8		
Broad Focus Area C – Social and Emotional Development and Intervention						8		
84.324T Model Demonstration Projects for Children with Disabilities			\$180,000	\$115,000 - \$180,000	\$150,000		Up to 48 mos.	50
Focus Area 1 -- Model Demonstration Projects to Support Quality Educational and Transition and Aftercare Programs in the Justice System for Youth with Disabilities						4		
Focus Area 2 -- Strengthening Childcare Infrastructures for Infants, Toddlers, and Preschoolers with Disabilities from Underserved Families and Communities						2		
Focus Area 3 - Agency Participation in Transition						2		
Focus Area 4 -- Assessments and Accountability						2		

\* Consistent with EDGAR (34 CFR 75.104(b)), we will reject any application that proposes a project funding level for any year that exceeds the stated maximum award amount for that year. \*\* Applicants must limit the Application Narrative, Part III of the Application, to the page limits noted above. Please refer to the “Page Limit” requirements and the page limit standards described in the “General Requirements” section included under each priority description. We will reject and will not consider an application that does not adhere to this requirement.

Note: The Department of Education is not bound by any estimates in this notice.

PRIORITY DESCRIPTION  
AND  
SELECTION CRITERIA  
FOR THE  
RESEARCH AND INNOVATION TO IMPROVE  
SERVICES AND RESULTS FOR  
CHILDREN WITH DISABILITIES PROGRAM

## **DIRECTED RESEARCH PROJECTS**

### **(84.324D)**

**DEADLINE: 07/22/02**

#### **ABSOLUTE PRIORITY:**

This priority supports projects that (1) advance and improve the knowledge base and (2) improve the practice of professionals, parents, and others providing early intervention, special education, and related services. This includes professionals who work with children with disabilities in regular educational environments and natural environments.

Under this priority, projects must support innovation, development, exchange of information, and the transfer of research into knowledge and practice. Projects must (1) use exceedingly rigorous quantitative or qualitative research and evaluation methods and (2) communicate appropriately with target audiences.

Also, under this priority, we will fund projects under specific target areas within the broad focus areas of: (A) Access to Learning; (B) Accountability and Reform; and (C) Social and Emotional Development and Intervention. The specific target areas under the three broad focus areas are as follows:

Focus A – Access to Learning

#### **Target Area (1) — Access to the General Education Curriculum for Students with Significant Cognitive Disabilities**

##### **Background**

This target area supports research to increase our understanding of access to the general education curriculum for students with significant cognitive disabilities. A project must investigate what access to the general education curriculum entails and how to provide that access in the least restrictive environment (LRE).

The barriers and challenges concerning access to the general education curriculum for students with significant cognitive disabilities are multifaceted and involve the following:

(A) Professional Development. IHEs are not adequately preparing or graduating school personnel to work with students with significant cognitive disabilities in regular school settings. In addition, recruitment and retention of qualified personnel is a major concern, and attrition is a big drain on resources.

(B) General Education Curriculum. Some districts have not aligned their curriculum and instruction to learning standards for grades K-12. Many special education teachers do not have



sufficient content background to be active partners in the curriculum. In addition, there is a pervasive lack of family and community involvement in curriculum development. Differentiated instruction is often nonexistent because school personnel often do not know how to identify and modify the curriculum and instruction to produce positive student outcomes by meeting the needs of diverse learners. This is especially true for students with significant cognitive disabilities; and

(C) LRE Issues. There are major barriers in providing access to the general education curriculum including student participation in statewide assessments when students are in separate sites. Including students with disabilities in public accountability systems and high stakes assessments has been described as a major disincentive for (i) including students with significant cognitive disabilities in inclusive schools and (ii) providing them access to the general education curriculum.

Universal design for learning (UDL) holds great promise for teaching, learning and assessment, and new media technologies to respond to differences among individual learners. For more information on UDL, please visit the following Web sites:

- Center for Applied Special Technology's (CAST) <http://www.cast.org/udl/>
- Universal Design for Learning from ERIC/OSEP:  
<http://www.cec.sped.org/osep/ud-sec3.html>
- A Curriculum Every Student Can Use: Design Principles for Student Access at:  
<http://www.cec.sped.org/osep/udesign.html>

### Target Area

A project funded under this target area must --

(a) Describe and define access to the general education curriculum for students with significant cognitive disabilities, including student participation, student progress, and location of service;

(b) Analyze and address how to meet the barriers and challenges related to professional development, the general education curriculum, and LRE issues, such as the challenges identified in the background section for this target area;

(c) Create partnerships that include both an SEA and an LEA to design, implement, evaluate, and disseminate high quality access to the general education curriculum in inclusive school environments; and

(d) Employ these six key features in designing, implementing, evaluating, and disseminating access:

- Family, community and school partnerships.
- Performance standards for students.

- Curricula and established accountability systems that are aligned with State initiatives.
- School accountability for all students.
- Ongoing professional development systems.
- Universal design for learning; and

(e) Increase our understanding of access to the general education curriculum for students with significant cognitive disabilities by (1) investigating what access to the general education curriculum entails, and how to provide it in the LRE, and (2) documenting student results using quantitative and qualitative data.

## Target Area (2) -- Instructional Interventions and Results for Children with Disabilities

### Background

The President's No Child Left Behind (NCLB) initiative is based on four principles: accountability for results, use of scientifically based methods, expansion of local flexibility, and empowerment of parents and students. Successful implementation of IDEA requires the consistent application of these principles.

With over 70 percent of children with disabilities spending over 40 percent of their school day in regular classrooms (U.S. Department of Education, 2000), both regular and special education teachers need relevant and accessible information about how students with disabilities learn curriculum and learn about accommodations, supports, and resources.

Research is needed to describe, test, and validate instructional practices that have the potential for generating positive results for children with disabilities as they strive to meet State and local standards and performance goals set for all students, especially in high schools.

Core courses such as Algebra I, foreign languages, and science are considered "gateway courses," which are critical to students who plan to earn a high school diploma and pursue transition goals that include postsecondary education. A better understanding of pedagogy, the use of universal design, and the learning needs of students with disabilities in certain core courses: (1) would increase the rate of students with disabilities who graduate with a high school diploma; and (2) would improve the learning opportunities for all students who have special learning needs.

### Target Area

A project supported under this target area must investigate issues related to providing instruction in the general education curriculum for children with disabilities in high school level courses (those earning Carnegie Units toward high school graduation with a diploma) in Algebra I, foreign language, or science. These issues must include, but are not limited to, the following:

(a) The relationship of universally designed instruction and curriculum to results for students with disabilities in Algebra I, foreign language, or science, including measures linked to passing high school exams and obtaining a diploma.

(b) Contextual variables that influence access to the general education curriculum for students with disabilities, including, for example, classroom design; the relative roles of regular educators and special educators; groupings or management strategies, curricular design, delivery, or materials; and family and staff interaction.

(c) Universally designed instructional and curricular approaches that ensure that students with disabilities have access to the general education curriculum in these core courses.

### Target Area (3) -- Pre-Literacy and Early Literacy for Infants, Toddlers, and Other Young Children with Visual Impairments Including Blindness

#### Background

Current research documents the link between the development of pre-literacy and early literacy skills for infants, toddlers, and other young children and subsequent reading and academic success. The development of pre-literacy and early literacy skills for young children with visual impairments, including blindness, poses additional challenges for families and professionals.

#### Target Area

A project funded under this target area must investigate issues and promising practices in the development of pre-literacy and early literacy skills for young children with visual impairments. The project must address ages birth to 3, 3 through 6 years, or the full age range of birth through 6 years. The project must address, but is not limited to, the following issues:

(1) Assessment of the needs of young children with visual impairments as those needs relate to the development of pre-literacy and early literacy skills.

(2) Use of new or innovative intervention strategies to promote pre-literacy and early literacy skills for all young children, including those who have visual impairments.

(3) Integration of intervention strategies in communication and other developmental domains with pre-literacy and early literacy intervention methods for infants, toddlers, and preschoolers with visual impairments.

(4) For the development of pre-literacy and early literacy skills, access to and use of new and developing technologies with young children with visual impairments.

## Focus B – Accountability and Reform

### Target Area (1) -- Universal Design of Assessments

#### Background

This target area supports research on universal design of assessments for use with students with disabilities. The term “universally designed assessments” refers to large-scale assessments that are designed to be accessible and valid for the widest possible range of students. Federal laws call for the participation of students with disabilities in State and districtwide assessments, with accommodations and alternate assessments provided as needed. Universal design of assessments will not eliminate the need for accommodations or alternate assessments. However, it will expand the range of students who can participate in general assessments, reduce the need for accommodations, and minimize problems of comparability and validity of scores if accommodations are used.

Universal design has implications for all phases of test development, including definition of constructs, formulation of test specifications, development of items, test tryouts and analysis, test revision, and item bias review. Information on universal design of assessments is available on the Web site of the National Center on Educational Outcomes:

<http://www.coled.umn.edu/nceo/>

#### Target Area

A project funded under this target area must conduct research on one or both of the following:

- (1) Development and testing of techniques for universal design of assessments as applied to students with disabilities.
- (2) Demonstration of the impact of universal design of assessments on the participation and performance of students with disabilities and on the validity of their scores.

### Target Area (2) -- Charter Schools and Students with Disabilities

#### Background

This target area supports research specific to students with disabilities in charter schools. A study of data collected in 1997 and 1998 indicates that students with disabilities are served in charter schools, but the types of disabilities and the services provided vary considerably by specific school and curricular focus. The study is available at the following Web site:

[http://www.uscharterschools.org/pub/uscs\\_docs/fr/sped\\_natl\\_study.htm](http://www.uscharterschools.org/pub/uscs_docs/fr/sped_natl_study.htm)

National surveys of charter schools supported by the U.S. Department of Education and an evaluation of the U.S. Public Charter Schools Programs indicate that (1) students with disabilities are well represented in charter schools, and (2) even charter schools not specifically

designed for students with special needs attract a large proportion of students with disabilities. These surveys and assessments are available at the following Web sites:

<http://www.ed.gov/pubs/charter4thyear/>

<http://www.ed.gov/offices/OUS/PES/chartschools/index.html>

Additionally, small scale research by the Department's Office of Special Education Programs (OSEP) and recently completed by the National Association of State Directors of Special Education reinforces the important role of State charter school policies and State special education policies in the ability of charter schools to meet their obligations under IDEA. This research is available at the following Web site:

[http://www.nasdse.org/project\\_search\\_doc2.pdf](http://www.nasdse.org/project_search_doc2.pdf)

### Target Area

A project supported under this target area must investigate one or more of the following issues related to charter schools and students with disabilities:

- (1) How and why students with disabilities and their parents choose charter schools.
- (2) How and why charter schools attract students with disabilities to their schools.
- (3) Policies and practices used by charter schools to determine the initial and continued eligibility of students for special education and related services.
- (4)(i) The relationship among State charter school legislation, authorizing entities and procedures, appeal procedures, special education rules or regulations, and other State level policies; and (ii) how these policies affect the access to special education and related services and delivery of services to students with disabilities in charter schools.
- (5) Differences and similarities between newly established or converted charter schools and longer-established charter schools in terms of access and services to students with disabilities.
- (6) The role of special education and related services in the different phases of developing and operating charter schools (i.e., authorization, start-up, oversight and supervision, review and renewal).

Because data on students with disabilities in the wide variety of charter schools is needed, we encourage proposals for projects that combine case study and survey approaches.

## Target Area (3) — Accountability, Reform, and Results for Children with Disabilities

### Background

IDEA requires a strong emphasis on public accountability for improved results for students with disabilities. Given that achievement levels and graduation rates of students with disabilities in high schools are at levels significantly lower than for their nondisabled peers, it is critical that we study schoolwide approaches to the effective education of students with disabilities in high schools, as well as those effective practices designed to meet the individual needs of students with disabilities.

### Target Area

A project funded under this target area must --

(1) Identify, describe, and validate schoolwide approaches that involve significant collaboration, such as those approaches used in nationally recognized high schools that consistently support and produce good results for students with disabilities; and

(b) Address the following issues:

(1) How special education services are delivered in high-performing high schools.

(2) How students with disabilities are attaining their goals in the general education curriculum in high performing high schools.

(3) How special education and regular education programs have coordinated the educational services for students with disabilities.

(4) How these three issues and other issues are related to positive results for students with disabilities.

The Assistant Secretary encourages applications that emphasize accountability for results, expand local flexibility, and increase empowerment of parents and students.

## Focus (C) – Social and Emotional Development and Intervention

### Target Area (1) -- Research on Early Childhood Mental Health

### Background

The elements of early intervention practice that support the social and emotional development of young children with or at risk of disabilities, are as important as the elements that support linguistic and cognitive development.

### Target Area

A project funded under this target area must --

(a) Conduct research to document effective practices for identifying and addressing the affective and behavioral problems of young children with or at risk of disabilities.

(b) Focus on the mental health of infants and toddlers (0-2 years old), or preschoolers (3-5 years old) or both, who are receiving services under the part C or part B programs of IDEA.

(c) Describe steps the applicant will take to ensure that it will disseminate findings from its research to research and training centers (RTCs) funded by the Office of Special Education and Rehabilitative Services. These centers include the two children's mental health rehabilitative research and training centers (RRTCs) funded by the National Institute on Disability and Rehabilitation Research (NIDRR) and the RTCs funded by OSEP on the "Development of Infants, Toddlers, and Preschoolers with or At Risk of Disabilities" and "Evidence-Based Practice: Young Children with Challenging Behavior."

#### Target Area (2) -- Assessing Self-Determination Skills

##### Background

Self-determination has been identified as an important outcome of the educational process for children with disabilities. Research to date has not addressed: (1) the critical components of the cultural issues involved with providing self-determination skills to children with disabilities from culturally and linguistically diverse backgrounds; (2) the self-determination needs of children in elementary schools; and (3) the development of measures for self-determination skills.

##### Target Area

A project funded under this target area must pursue research that focuses on one of the following issues:

(a) Cultural variables that influence the development and implementation of self-determination skills in children with disabilities, including children from culturally and linguistically diverse backgrounds. These may include (1) variables that promote the development of effective self-determination skills; and (2) the role of families from culturally and linguistically diverse backgrounds.

(b) The development of benchmarks, policies, and procedures to monitor and report the progress of students in self-determination skills. These skills may include, for example, leadership, problem solving, goal setting and self advocacy.

(c) The identification of: (1) developmentally appropriate self-determination skills for young children with disabilities; and (2) effective teaching strategies and curricula directed to elementary-school-aged students. These teaching strategies and curricula should be relevant to

families, program implementers, and policymakers at the community, district, building, and classroom levels. The strategies and curricula may also include information on how to promote the importance of early self-determination for the later success of children with disabilities.

### Target Area (3) — Implementation of Schoolwide Positive Behavior Supports in High School

#### Background

Since the inclusion of the term positive behavior support in the reauthorization of IDEA in 1997, much attention has been directed at implementing schoolwide systems of positive behavior support. The concept has come to mean a broad range of systemic and individualized strategies for achieving important social and learning outcomes while preventing challenging behavior of all students. This systemic emphasis is based on a three-tier prevention model that provides: primary interventions – interventions for all students; secondary interventions – either targeted interventions or interventions for targeted small groups of children; and a third level of interventions – very intensive, individualized interventions for a small number of children.

Throughout the past four years, schoolwide positive behavior support models, developed with OSEP support, have been implemented at the school, district, and State levels and yielded positive results among elementary and middle school students. Success in high schools has been less evident. Thus, additional research is needed to determine (1) the barriers and challenges of implementing schoolwide positive behavior support in high schools, and (2) the critical components needed to duplicate success at this level.

#### Target Area

A project supported under this target area must address the following:

- (a) The critical features that make high schools different from middle schools.
- (b) The strategies and systemic components needed to implement the three-tier schoolwide approach to positive behavior support at the high school level.
- (c) The critical features needed to effectively implement each of the three tiers.
- (d) The relationship between schoolwide positive behavior support and academic achievement.

The Secretary encourages projects to address (1) the types and patterns of behavioral problems exhibited in high schools; and (2) the use of alternative settings and more restrictive placements in high schools to address these problems.

**PROJECT PERIOD:** Up to 36 months.

**MAXIMUM AWARD:** We will reject any application that proposes a budget exceeding \$180,000 for a single budget period of 12 months.



**PAGE LIMITS:** The maximum page limit under this priority is 50 double-spaced pages. Standards for the maximum page limit are described after the “GENERAL REQUIREMENTS” section of this notice.

**GENERAL REQUIREMENTS:**

(a) The projects funded under this notice must make positive efforts to employ and advance in employment in project activities qualified individuals with disabilities. (see section 606 of IDEA).

(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities in planning, implementing, and evaluating the projects (see section 661(f)(1)(A) of IDEA).

(c) The projects funded under these priorities must budget for a two-day Project Directors’ meeting in Washington, DC during each year of the project.

(d) If a project maintains a Web site, it must include relevant information and documents in an accessible form.

(e) In a single application an applicant must address only one target area under Absolute Priority 1 or one focus area under Absolute Priority 2 in this notice. Under Absolute Priority 1, there are three broad focus areas with specific target areas under each focus area. Under Absolute Priority 2, there are four focus areas.

**PAGE LIMIT:** Part III of each application submitted under a priority in this notice, the application narrative, is where an applicant addresses the selection criteria that are used by reviewers in evaluating the application. You must limit Part III to the equivalent of no more than the number of pages listed under each applicable priority and in the table at the end of this notice, using the following standards:

- A "page" is 8.5" x 11" (on one side only) with one-inch margins (top, bottom, and sides).
- Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography or references, or the letters of support.

However, you must include all of the application narrative in Part III.

We will reject your application if –

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

**APPLICABLE REGULATIONS:** (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 85, 86, 97, 98, and 99; and (b) The selection criteria for the priorities under this program; these criteria are taken from the EDGAR general selection criteria. The specific selection criteria for each priority are included in the application package for the applicable competition.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

**ELIGIBLE APPLICANTS:** Under Absolute Priority 1 eligible applicants are State educational agencies (SEAs), local educational agencies (LEAs), institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, and Indian tribes or tribal organizations.

*For further information about this priority contact:*

*Dr. Anne Smith, Competition Manager  
Research to Practice Division  
Office of Special Education Programs  
Telephone: (202) 205-8888  
FAX: (202) 205-8971  
Internet: [Anne.Smith@ed.gov](mailto:Anne.Smith@ed.gov)  
TDD: 1-800-877-8339*

## **SELECTION CRITERIA AND FORMAT FOR THE DIRECTED RESEARCH PROJECTS (CFDA 84.324D) COMPETITION**

Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. This format was published in the FEDERAL REGISTER as an appendix to the program regulations, and it addresses all the selection criteria used to evaluate applications required by regulations. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the Directed Research Projects (CFDA 84.324D) competition are the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

A one-page **abstract** should precede the application narrative. The application narrative should include the following sections in this order:

### **(a) Significance (20 points)**

- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers the following factors:
  - (i) The significance of the problem or issue to be addressed by the proposed project;
  - (ii) The potential contribution of the proposed project to increase knowledge or understanding of educational problems, issues, or effective strategies;
  - (iii) The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field of study; and
  - (iv) The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies.

### **(b) Quality of the project design (35 points)**

- (1) The Secretary considers the quality of the design of the proposed project.
- (2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(i) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework;

(ii) The extent to which the proposed research design includes a thorough, high-quality review of the relevant literature, a high-quality plan for research activities, and the use of appropriate theoretical and methodological tools, including those of a variety of disciplines, if appropriate;

(iii) The extent to which the proposed project encourages parental involvement; and

(iv) The extent to which the proposed project encourages consumer involvement.

**(c) Quality of project personnel (20 points)**

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of key project personnel; and

(ii) The qualifications, including relevant training and experience, of project consultants or subcontractors.

**(d) Quality of the management plan (15 points)**

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;

(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project; and

(iii) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project.

**(e) Adequacy of resources (10 points)**

(1) The Secretary considers the adequacy of resources for the proposed project.

(2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;

(ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;

(iii) The extent to which the budget is adequate to support the proposed project; and

(iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

**MODEL DEMONSTRATION PROJECTS FOR**  
**CHILDREN WITH DISABILITIES**  
**(84.324T)**

**DEADLINE: 07/22/02**

**ABSOLUTE PRIORITY:**

This priority supports model demonstration projects that develop, implement, evaluate, and disseminate new or improved approaches for providing early intervention, special education, and related services. These are services provided to children with disabilities, ages birth through 21.

Projects supported under this priority are expected to be major contributors of models or components of models for service providers and for outreach projects funded under IDEA.

**REQUIREMENTS FOR ALL MODEL DEMONSTRATION PROJECTS:**

- (a) A model demonstration project funded under this priority must --
  - (1) Use exceedingly rigorous quantitative or qualitative evaluation methods and data;
  - (2) Evaluate the model by using multiple measures of results to determine the effectiveness of the model and its components or strategies;
  - (3) Produce detailed procedures and materials to enable others to replicate the model;  
and
  - (4) Communicate appropriately with target audiences through means such as special education technical assistance providers and disseminators, professional journals and other publications, conference presentations, or a Web site.
- (b) Federal financial participation for a project funded under this priority will not exceed 90 percent of the total annual costs of the project (see section 661(f)(2)(A) of IDEA).
- (c) In addition to the annual two-day Project Directors' meeting in Washington, DC (as specified in paragraph (c) of the GENERAL REQUIREMENTS section of this notice), a project must budget for another annual meeting in Washington, DC to collaborate with the Federal project officer and the other projects funded under this priority, to share information, and to discuss issues related to development of a model, evaluation, and project implementation.

Under this absolute priority, we will fund projects in the following focus areas only:

**Focus Area 1 -- Model Demonstration Projects to Support Quality Educational and Transition and Aftercare Programs in the Justice System for Youth with Disabilities**

## Background

This focus area supports model projects that demonstrate new or innovative models for youth in the justice system.

Ensuring that youth acquire educational skills is one of the most effective approaches to reducing recidivism. Yet, students in jails, detention centers, and short-term facilities receive considerably poorer instruction and less time in instruction.

Transition and aftercare services are the most neglected components in dealing with this group of children. The primary problem stems from the lack of communication between multiple service agencies and an overall lack of community support for delinquent youths. This critical transition should involve a seamless system of care, identifying the needs and services to be provided by multiple agencies if needed to ensure successful reintegration and after care support.

## Focus Area

A model funded under this focus area must address a comprehensive coordinated system to facilitate the successful reintegration of youth from a facility back into his or her home school.

A model must address one of the following: (1) the provision of quality special education services within facilities; or (2) the provision of quality transition and aftercare services to support the reintegration of youth with disabilities into their home schools and communities.

A model addressing the provision of special education services must address, but is not limited to, one or more of the following:

(a) The requirements of IDEA as they apply to youth in facilities, including: least restrictive environment, access to the general education curriculum, and implementation of Individualized Education Programs (IEPs).

(b) Immediate screening of each youth's present levels of performance and services needed while in the facility.

(c) Efficient transfer of IEP records.

(d) Coordination with each youth's home school on the current IEP and processes for ensuring the transfer to the home school of credit, and acceptance of work completed by the youth within the facility.

(e) An identification process, if needed, for a youth with disabilities who has previously not been identified before entering the facility.

(f) Provision of needed remediation and instruction in basic skills that has been shown to be effective by scientifically based research, especially in reading.

A model addressing transition and aftercare must address, but is not limited to, one or more of the following:

(a) The requirements of IDEA as they apply to youth in facilities, including: least restrictive environment, access to the general education curriculum, and implementation of IEPs.

(b) Efficient transfer of each youth's IEP records and educational performance and progress while the youth is in the facility.

(c) Coordination with each youth's home school on the current IEP and processes for ensuring the transfer to the home school for credit, and acceptance of work completed by the youth within the facility.

(d) Mentoring programs and supportive transition networks to ensure the successful reintegration of the youth into the home school and community.

(e) Parental involvement.

OSEP intends to fund an equal number of models in (1) the provision of special education services and (2) the provision of transition and aftercare.

#### Focus Area 2 -- Strengthening Childcare Infrastructures for Infants, Toddlers, and Preschoolers with Disabilities from Underserved Families and Communities

##### Background

This focus area supports projects that demonstrate new or innovative childcare models that address the developmental needs of infants, toddlers, and preschoolers with disabilities from underserved families and communities.

##### Focus Area

A project funded under this focus must --

(a) Identify and support children with disabilities from underserved families and communities.

(b) Address the special and individualized intervention needs of young children without removing the children from inclusive settings and typical experiences.

(c) In identifying and addressing challenges that contribute to the uneven provision of services, incorporate multiple formal and informal service delivery systems that have evolved in a community over the years.

(d) Address, under this focus area, one or more of the following issues:



- (1) The lack of available mental health services for children under age 6.
  - (2) Adverse home or community conditions.
  - (3) Cultural differences between service providers and families.
  - (4) Differences between what childcare programs offer and what families of young children with disabilities or at-risk for disabilities need or want.
  - (5) Children living with mentally ill family members.
  - (6) Children with complex medical conditions.
  - (7) Children in families dealing with poverty, substance abuse, or violence;
- (e) Measure the effectiveness of models with regard to children's development by assessing multiple influences longitudinally in reporting on the impact of the variables of community, family, and individual intervention on child development. Measures of a child's competence must include observation of a child's underlying functioning over time with regard to the interventions the child has received.
- (f) Examine whether the proposed interventions were implemented as planned, whether the participants for whom the program is designed actually participated, and how much the program costs.

A project funded under this focus area must schedule (1) one trip annually to Washington, DC (as specified in paragraph (c) of the GENERAL REQUIREMENTS section of this notice), (2) one trip annually to Washington, DC (as specified in the Requirements for All Demonstration Projects section of this priority), and (3) an additional meeting, to take place at the beginning of year one, to identify collaborations across projects under this focus area that can result in increased sample sizes and planned variations of critical variables, interventions, and outcomes.

### Focus Area 3 - Agency Participation in Transition

#### Background

This focus area supports model projects that demonstrate (1) new or improved approaches to participation in transition by multiple systems and (2) successful interagency collaboration in planning transition from school to work, postsecondary education, or other post-school activities.

#### Focus Area

A project funded under this focus area must --

(a) Involve collaboration between multiple systems, such as education; vocational rehabilitation; workforce development; employer organizations; community networks; health, youth, and adult service agencies; and other relevant agencies;

(b) Improve transitions among the types of systems referred to in paragraph (a) and eliminate service disruptions, including waiting lists for students exiting school; and

(c) Include student IEPs that are based on each student's interests, preferences, and needs and include, as appropriate, a statement of interagency responsibilities and any needed linkages. The linkages must include, as appropriate, postschool environments such as postsecondary schools, employment, adult-service programs, and local One-Stop Career Centers created under the Workforce Investment Act.

(d) Schedule (1) one trip annually to Washington, DC (as specified in paragraph (c) of the GENERAL REQUIREMENTS section of this notice), (2) one trip annually to Washington, DC (as specified in the Requirements for All Demonstration Projects section of this priority), and (3) an additional meeting to take place by the end of the first month of the project.

#### Focus Area (4) -- Assessments and Accountability

##### Background

This focus area supports State educational agencies (SEAs) and local education agencies (LEAs) (in consortia with SEAs) in developing and evaluating new or improved models for the meaningful and effective participation of students with disabilities in large-scale assessments and accountability systems.

##### Focus Area

A project funded under this focus area must develop and evaluate a model that includes all students with disabilities--those who participate in general large-scale assessments (with and without accommodations) and those who participate in alternative assessments.

A project funded under this focus area must also develop and evaluate a model with the following characteristics:

(a) The model must fully include students with disabilities, and those students must have the same impact as other students in State and local systems of educational accountability.

(b) Public reports on assessments and accountability must fully and clearly present data on the participation and performance of students with disabilities, aggregated with the data of all other students and disaggregated for students with disabilities.

(c) In its decisions regarding corrective actions, resource allocation, improvement plans, and similar processes, the SEA or LEA must give assessment data of students with disabilities consideration equal to the consideration it gives data of all other students.

(d) An SEA or LEA must provide IEP teams with training and support in making decisions about how students with disabilities will participate in assessments.

(e) The model must provide for ongoing evaluation to determine if undesired patterns of participation or undesired consequences are occurring. This evaluation may include, but is not limited to: determining that all students with disabilities are, in fact, participating in assessments, reports and accountability; tracking the use of “nonallowed” accommodations that limit how performance data can be used; studying the characteristics of students who participate in alternate assessments; and analyzing retention and drop-out rates to detect undesired trends.

(f) The model must provide for continued improvement of the assessment and accountability system over time by means of monitoring, evaluation, systematic training, dissemination, and similar processes.

**PROJECT PERIOD:** Up to 48 months.

**MAXIMUM AWARD FOR ALL MODEL DEMONSTRATION PROJECTS:** We will reject any application that proposes a budget exceeding \$180,000 (exclusive of any matching funds) for a single budget period of 12 months.

**PAGE LIMITS FOR ALL MODEL DEMONSTRATION PROJECTS:** The maximum page limit for this priority is 50 double-spaced pages. Standards for the maximum page limit are described after the GENERAL REQUIREMENTS section of this notice.

**GENERAL REQUIREMENTS:**

(a) The projects funded under this notice must make positive efforts to employ and advance in employment in project activities qualified individuals with disabilities. (see section 606 of IDEA).

(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities in planning, implementing, and evaluating the projects (see section 661(f)(1)(A) of IDEA).

(c) The projects funded under these priorities must budget for a two-day Project Directors’ meeting in Washington, DC during each year of the project.

(d) If a project maintains a Web site, it must include relevant information and documents in an accessible form.

(e) In a single application an applicant must address only one focus area under Absolute Priority 2 in this notice. Under Absolute Priority 2, there are four focus areas.

**PAGE LIMIT:** Part III of each application submitted under a priority in this notice, the application narrative, is where an applicant addresses the selection criteria that are used by reviewers in evaluating the application. You must limit Part III to the equivalent of no more than the number of pages listed under each applicable priority and in the table at the end of this notice, using the following standards:

- A "page" is 8.5" x 11" (on one side only) with one-inch margins (top, bottom, and sides).
- Double-space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to Part I, the cover sheet; Part II, the budget section, including the narrative budget justification; Part IV, the assurances and certifications; or the one-page abstract, the resumes, the bibliography or references, or the letters of support.

However, you must include all of the application narrative in Part III.

We will reject your application if --

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

**APPLICABLE REGULATIONS:** (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 80, 81, 82, 85, 86, 97, 98, and 99; and (b) The selection criteria for the priorities under this program; these criteria are taken from the EDGAR general selection criteria. The specific selection criteria for each priority are included in the application package for the applicable competition.

Note: The regulations in 34 CFR part 86 apply to institutions of higher education only.

**ELIGIBLE APPLICANTS:** Under focus areas 1 and 2 of Absolute Priority 2, eligible applicants are State educational agencies (SEAs), local educational agencies (LEAs), institutions of higher education (IHEs), other public agencies, private nonprofit organizations, outlying areas, freely associated States, and Indian tribes or tribal organizations.

For focus area 3 under Absolute Priority 2, eligible applicants are limited to LEAs, and LEAs in consortia with one or more other LEAs, IHEs, other public agencies, or other organizations. However, in the event that the LEA forms a consortium with other organizations, the LEA must be the applicant and act in a manner consistent with 34 CFR 75.129.

For focus area 4 under Absolute Priority 2, eligible applicants are limited to SEAs, and SEAs in consortia with one or more LEA, IHE, or private nonprofit organizations. However, an

LEA or SEA must be the applicant and act in a manner consistent with 34 CFR 75.129. Note: LEAs are not eligible unless in consortia with SEAs.

*For further information about this priority contact:*

***Dr. Grace Zamora Duran, Competition Manager***

***Research to Practice Division***

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## **SELECTION CRITERIA AND FORMAT FOR THE MODEL DEMONSTRATION PROJECTS FOR CHILDREN WITH DISABILITIES (CFDA 84.324T) COMPETITION**

Part III of the application form requires a narrative that addresses the selection criteria that will be used by reviewers in evaluating individual proposals. Applications are more likely to receive favorable reviews by panels when they are organized according to the format suggested below. This format was published in the FEDERAL REGISTER as an appendix to the program regulations, and it addresses all the selection criteria used to evaluate applications required by regulations. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

The selection criteria that will be used to evaluate applications submitted to the Model Demonstration Projects for Children with Disabilities (CFDA 84.324T) competition are the selection criteria for new grants required by the EDGAR general selection criteria menu. The maximum score for all of the criteria is 100 points.

A one-page **abstract** should precede the application narrative. The application narrative should include the following sections in this order:

### **(a) Significance (15 points)**

- (1) The Secretary considers the significance of the proposed project.
- (2) In determining the significance of the proposed project, the Secretary considers the following factors:
  - (i) The national significance of the proposed project;
  - (ii) The potential contribution of the proposed project to increased knowledge or understanding of educational problems, issues, or effective strategies;
  - (iii) The extent to which the proposed project is likely to yield findings that may be utilized by other appropriate agencies and organizations;
  - (iv) The extent to which the proposed project involves the development or demonstration of promising new strategies that build on, or are alternatives to, existing strategies;
  - (v) The likely utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used effectively in a variety of other settings;
  - (vi) The extent to which the results of the proposed project are to be disseminated in ways that will enable others to use the information or strategies;

(vii) The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings; and

(viii) The importance or magnitude of the results or outcomes likely to be attained by the proposed project.

**(b) Quality of the project design (20 points)**

(1) The Secretary considers the quality of the design of the proposed project.

(2) In determining the quality of the design of the proposed project, the Secretary considers the following factors:

(i) The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable;

(ii) The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs;

(iii) The extent to which there is a conceptual framework underlying the proposed research or demonstration activities and the quality of that framework;

(iv) The extent to which the design of the proposed project includes a thorough, high-quality review of the relevant literature, a high-quality plan for project implementation, and the use of appropriate methodological tools to ensure successful achievement of project objectives;

(v) The extent to which the proposed project is designed to build capacity and yield results that will extend beyond the period of Federal financial assistance;

(vi) The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice;

(vii) The extent to which the proposed project will be coordinated with similar or related efforts, and with other appropriate community, State, and Federal resources;

(viii) The extent to which the proposed project encourages parental involvement;

(ix) The extent to which the proposed project encourages consumer involvement; and

(x) The extent to which performance feedback and continuous improvement are integral to the design of the proposed project.

**(c) Quality of project personnel (20 points)**

(1) The Secretary considers the quality of the personnel who will carry out the proposed project.

(2) In determining the quality of project personnel, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.

(3) In addition, the Secretary considers the following factors:

(i) The qualifications, including relevant training and experience, of key project personnel; and

(ii) The qualifications, including relevant training and experience, of project consultants or subcontractors.

**(d) Adequacy of resources (10 points)**

(1) The Secretary considers the adequacy of resources for the proposed project.

(2) In determining the adequacy of resources for the proposed project, the Secretary considers the following factors:

(i) The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization;

(ii) The relevance and demonstrated commitment of each partner in the proposed project to the implementation and success of the project;

(iii) The extent to which the budget is adequate to support the proposed project; and

(iv) The extent to which the costs are reasonable in relation to the objectives, design, and potential significance of the proposed project.

**(e) Quality of the management plan (10 points)**

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan for the proposed project, the Secretary considers the following factors:

(i) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks;



(ii) The adequacy of procedures for ensuring feedback and continuous improvement in the operation of the proposed project;

(iii) The adequacy of mechanisms for ensuring high-quality products and services from the proposed project;

(iv) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives of the proposed project; and

(v) How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipients or beneficiaries of services, or others, as appropriate.

**(f) Quality of the project evaluation (25 points)**

(1) The Secretary considers the quality of the evaluation to be conducted of the proposed project.

(2) In determining the quality of the evaluation, the Secretary considers the following factors:

(i) The extent to which the methods of evaluation are thorough, feasible, and appropriate to the goals, objectives, and outcomes of the proposed project;

(ii) The extent to which the methods of evaluation are appropriate to the context within which the project operates;

(iii) The extent to which the methods of evaluation provide for examining the effectiveness of project implementation strategies;

(iv) The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible; and

(v) The extent to which the evaluation will provide guidance about effective strategies suitable for replication or testing in other settings.

GENERAL INFORMATION  
ON COMPLETING  
AN APPLICATION

## GENERAL INFORMATION ON COMPLETING AN APPLICATION

Potential applicants frequently direct questions to officials of the Department regarding application notices and programmatic and administrative regulations governing various direct grant programs. To assist potential applicants, the Office of Special Education Programs staff have assembled the following most commonly raised issues. In general, this information applies to the grant competitions covered by this application package.

- **EXTENSION OF DEADLINES**

Waivers for individual applications are not granted, regardless of the circumstances. Under very extraordinary circumstances a closing date may be changed. Such changes are announced in the Federal Register.

- **COPIES OF THE APPLICATION**

Current Government-wide policy is that only an original and three copies need to be submitted. OSEP would appreciate receiving two additional copies to facilitate the peer review process. This would mean AN ORIGINAL AND FIVE COPIES need to be submitted (six applications in all). Copies of the application may be bound, but it is not necessary or required. If bound, one copy should be left unbound to facilitate electronic scanning and any necessary reproduction. Applicants should not use colored paper, foldouts, photographs, or other materials that are hard to duplicate.

- **MAKING APPLICATIONS MORE ACCESSIBLE TO REVIEWERS WHO ARE BLIND OR HAVE LOW VISION**

The Department will accept one copy of the application in an accessible format (i.e., IBM PC compatible WordPerfect or ASCII code diskette) along with the original and five print copies of the application. The accessible format copy can be used with available software to convert the text of the application into Braille, or with text to voice applications. If there are any differences in the print original provided on the disk and in print, the print original is assumed to be the correct version.

- **MISSED DEADLINES AND SUBMISSION UNDER OTHER COMPETITIONS**

Should an application miss the deadline for a particular competition, it may be submitted to another competition. However, if an application is properly prepared to meet the specifications of one competition, it is extremely unlikely that it would be favorably evaluated under a different competition.

- **SUBMISSION TO MORE THAN ONE PROGRAM**

Applications may be submitted to more than one Federal program if you are unsure of the most appropriate program. Each application should be prepared following the instructions for that particular program as closely as possible (which may require some reformulation). It is very helpful if each program is notified that an identical or similar application is being submitted to another program.

- **HELP PREPARING APPLICATIONS**

We are happy to provide general program information. Clearly it would not be appropriate for staff to participate in the actual writing of an application, but we can respond to specific questions about our application requirements and evaluation criteria, or about the announced priorities. Applicants should understand that such previous contact is not required, nor does it guarantee the success of an application.

- **NOTIFICATION OF FUNDING**

The time required to complete the evaluation of applications is variable. Once applications have been received staff must determine the areas of expertise needed to appropriately evaluate the applications, identify and contact potential reviewers, convene peer review panels, and summarize and review the recommendations of the review panels. You can expect to receive notification within 3 to 6 months of the application closing date, depending on the number of applications received and the number of competitions with closing dates at about the same time. However, you will receive notification by the end of the fiscal year for which you are applying. The requested start date should therefore be a minimum of 6 months after the application closing date.

- **POSSIBILITY OF LEARNING THE OUTCOME OF REVIEW PANELS PRIOR TO OFFICIAL NOTIFICATION**

Every year we are called by a number of applicants who have legitimate reasons for needing to know the outcome of the review prior to official notification. Some applicants need to make job decisions, some need to notify a local school district, etc. Regardless of the reason, we cannot share information about the review with anyone until the Assistant Secretary has approved a slate of projects recommended for funding. You will be notified as quickly as possible either by telephone (if your application is recommended for funding), or through a letter (if your application is not successful).

- **FORMAT FOR APPLICATIONS**

The application narrative (Part III of the application form) should be organized to follow the exact sequence of the components in the selection criteria used to evaluate applications. (The selection criteria for the competitions covered by this packet are listed following the specific competition information in section “C” of this packet.) A table of contents, list of priority requirements, and a one-page abstract summarizing the objectives, activities, project participants, and expected outcomes of the proposed project should precede the application narrative. If you prefer to use a different format, you may wish to cross-reference the sections of your application to the selection criteria to be sure that reviewers are able to find all relevant information.

To aid in screening and reviewing the application, applicants should list in Part II and prior to the abstract, all general, special, and other requirements for the priority and corresponding page number (s) where requirements are addressed within the application. Page limits do not apply to this list. (All requirements are found in each priority description included in this application package.) The format included below is an example of how you might provide this information in your application.

Page #	Requirements
_____	(a) Projects funded under this notice must make positive efforts to employ and advance in employment qualified individuals with disabilities in project activities. (See Section 606 of IDEA)
_____	(b) Applicants and grant recipients funded under this notice must involve individuals with disabilities or parents of individuals with disabilities in planning, implementing, and evaluating the projects. (See Section 661(f)(1)(A) of IDEA)
_____	(c) Applicant must describe steps to ensure equitable access to, and participation in, its program for students, teachers, and other program beneficiaries with special needs. (See Section 427, GEPA)
_____	(d) Projects funded under these priorities must budget for a two-day Project's Directors' meeting in Washington, D.C. during each year of the project.

- **BEST WAY TO PREPARE PROGRAM ABSTRACT**

The program abstract should be one page in length. It would be helpful if it included; the title of the program, the name of the Absolute Priority, and the CFDA Number (e.g., 84.324D, etc.).

- **PAGE LIMITS**

Please note that all applications submitted under the competition in this application package must adhere to the Part III - Application Narrative page limit requirements that are specified under each priority/competition description. Your application should provide enough information to allow the review panel to evaluate the importance and impact of the project as well as to make knowledgeable judgments about the methods you propose to use (design, subjects, sampling procedures, measures, instruments, data analysis strategies, etc.). It is often helpful to have:

- (1) Staff Vitae--They should include each person's title and role in the proposed project and contain only information that is relevant to this proposed project's activities and/or publications. Vitae for consultants and Advisory Council members should be similarly brief.
- (2) Instruments--except in the case of generally available and well known instruments.
- (3) Agreements--when the participation of an agency other than the applicant is critical to the project. This is particularly critical when an intervention will be implemented within an agency, or when subjects will be drawn from particular agencies. Letters of cooperation should be specific, indicating agreement to implement a particular intervention or to provide access to a particular group of students.

- **MAKING SURE APPLICATION IS ASSIGNED TO THE CORRECT COMPETITION**

Applicants should clearly indicate in Item 3 on the application (ED Form 424) the CFDA number of the program priority (e.g., 84.324D, etc.) representing the competition in which the application

should be considered. If this information is not provided, your application may inadvertently be assigned and reviewed under a different competition from the one you intended.

- RETURN OF NON-FUNDED APPLICATIONS

We do not return original copies of applications. Thus, applicants should retain at least one copy of the application. Copies of reviewer comments will be mailed to all applicants.

- PROPOSED STAFF AVAILABILITY TO PROJECT

For each staff person named in the application, please provide documentation of all internal and external time commitments. In instances where a staff person is committed on a federally supported project, please provide the project name, Federal office, program title, the project Federal award number, and the amount of committed time by each project year. This information (e.g., Staff: Jane Doe; Project Name: Succeeding in the General Curriculum; Federal office: Office of Special Education Programs; Program title: Field Initiated Research; Award number: H324C980624; Time commitments: Year 1—30%; Year 2—25% and Year 3—40%) can be provided as an Appendix to the application.

In general, we will not reduce time commitments on currently funded grants from the time proposed in the original application. Therefore, we will not consider for funding any application where key staff are bid above a time commitment level that staff have available to bid. Further, the time commitments stated in newly submitted applications will not be negotiated down to permit the applicant to receive a new grant award.

- USE OF PERSON LOADING CHARTS

It is important for applicants to include proposed time commitments for all project personnel. Also, program officials and applicants often find person loading charts useful formats for showing project personnel and their time commitments to individual activities. A person loading chart is a tabular representation of major evaluation activities by number of days spent by each key person involved in each activity, as shown in the following example.

Table #  
Person Loading Chart - Time in Day(s) by Person\*

Activity	Time in Day(s) by Person			
	Person A	Person B	Person C	Person D
Library Research	15	20	0	0
Hire Staff	0	0	0	5
Prepare Materials	5	25	0	0
Train Raters	0	2	0	0
Data Collection	60	60	0	0
Data Analysis	0	0	25	5
Dissemination (manuscripts, etc.)	0	1	0	10

\*Note: All figures represent FTE for the academic year.

- DELIVERING/SENDING APPLICATIONS TO THE COMPETITION MANAGER

Applications can be mailed or hand delivered, or submitted electronically but in either case must go to the Application Control Center at the address listed in the Application Transmittal Instructions (E-1). Delivering or sending the application to the competition manager in the program office may prevent it from being logged in on time to the appropriate competition and may result in the application not being reviewed.

- ALLOWED TRAVEL UNDER THESE PROJECTS

Travel is allowed if the travel specifically relates to the expressed goals of the project. Travel by students to further their education under the project's goals is also allowed. Travel to conferences is the travel item that is most likely to be questioned during negotiations. Such travel is sometimes allowed when it is for purposes of dissemination, when there will be results to be disseminated, and when it is clear that a conference presentation or workshop is an effective way of reaching a particular target group.

- FUNDING OF APPROVED APPLICATIONS

It is often the case that the number of applications recommended for approval by the reviewers exceeds the dollars available for funding projects under a particular competition. When the panel reviews are completed for a particular competition, the individual reviewer scores and applications are ranked. The higher ranked, approved applications are funded first, and there are often lower ranked, approved applications that do not receive funding. Sometimes, one or two applications that are approved and fall next in rank order (after those projects selected for funding) are placed on hold. If dollars become available as a result of negotiations, or if a higher ranked applicant declines the award, the projects on hold may receive funding. If you receive a

letter stating that you will not receive funding, then your project has neither been selected for funding nor placed on hold.

- **INDIRECT COST RATE**

There is no maximum indirect cost for the competitions in this application package. An organization's current effective indirect cost rate is the rate that should be reflected in your proposed budget.

- **ISSUES RAISED DURING DISCUSSIONS PRIOR TO AWARD**

If your application is recommended for funding, discussions may be held prior to award to clarify technical or budget issues. These are issues that have been identified during panel and staff review. Generally, technical issues are minor issues that require clarification. Alternative approaches may be presented for your consideration, or you may be asked to provide additional information or rationale for something you have proposed to do. Sometimes, concerns are stated as "conditions". These are concerns that have been identified as so critical that the award cannot be made unless those conditions are met. Questions are also raised about the proposed budget during the discussion phase. Generally, budget issues are raised because there is inadequate justification or explanation of the particular budget item, or because the budget item does not seem critical to the successful completion of the project. A Federal project officer will present the issues to you and ask you to respond. If you do not understand the question, you should ask for clarification. In responding to discussion items you should provide any additional information or clarification requested. You may feel that an issue was addressed in the application. It may not, however, have been explained in enough detail to make it understood by reviewers, and more information should be provided. If you are asked to make changes that you feel could seriously affect the project's success, you may provide reasons for not making the changes, or provide alternative suggestions. Similarly, if proposed budget reductions will, in your opinion, seriously affect the proposed activities, you may want to explain why and provide additional justification for the proposed expenses. Your changes, explanations, and alternative suggestions will be carefully evaluated by staff. In some instances, an applicant may again be contacted for additional information. An award cannot be made until all issues have been resolved and conditions met.

- **TREATING A PRIORITY AS TWO SEPARATE COMPETITIONS.** In the past, there have been problems in finding peer reviewers without conflicts of interest where applications are made by many entities throughout the country. The Standing Panel requirements under IDEA '97 have also placed additional constraints on the availability of reviewers. Therefore, The Department has determined that, for some discretionary priorities, applications may be ranked and selected for funding in two or more groups, which will ensure the availability of a much larger group of reviewers without conflicts of interest. This procedure will increase the quality, independence and fairness of the review process and will permit panel members to review applications under discretionary priorities to which they have also submitted applications.



- **SUCCESSFUL APPLICATIONS AND ESTIMATED/PROJECTED BUDGET AMOUNTS IN SUBSEQUENT YEARS**

There is a maximum award amount specified for the priority/competitions included in this package. The Department rejects and does not consider an application that proposes a budget exceeding the maximum amount for any single budget period of 12 months for the priorities included in this package. Please refer to the priority description to determine the maximum award for any one particular competition. Since the yearly budgets for multi-year projects will be negotiated at the time of the initial award, applicants must include detailed budgets for each year of their proposed project. Generally, out-year funding levels most likely will not exceed 1st year budgets. However, budget modifications during the negotiation process, the findings from the previous year, or needed changes in the study design can affect your budget requirements in subsequent years, but in no case will out-year budgets exceed the maximum award amount.

- **REQUIREMENT TO REPORT THE RESULTS OF GRANT ACTIVITIES**

The Department shall, where appropriate, require recipients of all grants, contracts and cooperative agreements under Part D of the Individuals with Disabilities Education Act to prepare reports describing their procedures, findings, and other relevant information. The Department shall require their delivery to the Department of Education and to the ERIC Clearinghouse on Disabilities and Gifted Education, and other networks as The Department may determine appropriate. (20 U.S.C. 1461)

- **DIFFERENCE BETWEEN A COOPERATIVE AGREEMENT AND A GRANT**

A cooperative agreement is similar to a grant in that its principal purpose is to accomplish a public purpose of support or stimulation as authorized by a Federal statute. It differs from a grant in the sense that in a cooperative agreement substantial involvement is anticipated between the executive agency (in this case the Department of Education) and the recipient during the performance of the contemplated activity.

- **DIFFERENCE BETWEEN AN ABSOLUTE PRIORITY, AN INVITATIONAL PRIORITY, AND A COMPETITIVE PRIORITY**

An absolute priority is a priority that an applicant must address in order to receive an award. If an applicant does not address an absolute priority, their application will be returned as being non-responsive to the priority.

An invitational priority is a priority that reflects a particular interest of the Department, and an applicant is encouraged to address the invitational priority along with the required absolute priority. However, an applicant choosing to address an invitational priority, will not receive any competitive preference over other applications.

A competitive priority is like an invitational priority in that it reflects a particular interest of the Department, and an applicant is encouraged to address the competitive priority along with the required absolute priority. A competitive priority may be handled in one of two ways: (1) an

application may be awarded additional points depending on how effectively it addresses the competitive priority; or (2) an application that meets a competitive priority may be selected over an application of comparable merit that does not address the competitive priority. The type of competitive priority for a particular competition is always included in the FEDERAL REGISTER announcement.

- **OBTAINING COPIES OF THE FEDERAL REGISTER, PROGRAM REGULATIONS AND FEDERAL STATUTES**

Copies of these materials can usually be found at your local library. If not, they can be obtained by writing to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, D.C. 20402  
Telephone: (202) 512-1800.

Information about the Department's funding opportunities, including copies of application notices for discretionary grant competitions, can be viewed on the Department's grant information web page which can be accessed on the INTERNET at: <http://www.ed.gov/offices/OCFO/gcsindex.html> However, the official application notice for a discretionary grant competition is the notice published in the FEDERAL REGISTER.

APPLICATION TRANSMITTAL INSTRUCTIONS  
AND  
REQUIREMENTS FOR INTERGOVERNMENTAL REVIEW

## INSTRUCTIONS FOR TRANSMITTAL OF APPLICATIONS:

Note: Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

### Pilot Project for Electronic Submission of Applications

In Fiscal Year 2002, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Special Education – Research and Innovation to Improve Services and Results for Children with Disabilities (84.324) is one of the programs included in the pilot project. If you are an applicant under the Special Education -- Training and Information for Parents of Children with Disabilities program, you may submit your application to us in either electronic or paper format.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administration and Payment System (GAPS). We request your participation in this pilot project. We shall continue to evaluate its success and solicit suggestions for improvement.

If you participate in this e-APPLICATION pilot, please note the following:

- Your participation is voluntary.

- You will not receive any additional point value or penalty because you submit a grant application in electronic or paper format.
- You can submit all documents electronically, including the Application for Federal Assistance (ED 424), Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.
- Within three working days of submitting your electronic application fax a signed copy of the Application for Federal Assistance (ED 424) to the Application Control Center after following these steps:
  1. Print ED 424 from the e-APPLICATION system.
  2. Make sure that the institution's Authorizing Representative signs this form.
  3. Before faxing this form, submit your electronic application via the e-APPLICATION system. You will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
  4. Place the PR/Award number in the upper right hand corner of ED 424.
  5. Fax ED 424 to the Application Control Center at (202) 260-1349.
- We may request that you give us original signatures on all other forms at a later date.

You may access the electronic grant application for the (Program Name) at:

<http://e-grants.ed.gov>

We have included additional information about the e-APPLICATION pilot project (see Parity Guidelines between Paper and Electronic Applications) in the application package.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

(A) If You Deliver Your Application by Hand:

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional 5 copies of your application. Deliver your application to:

U.S. Department of Education

Application Control Center

Attention: CFDA # 84.324

7<sup>th</sup> & D Streets, SW, Room 3671

Regional Office Building 3

Washington, DC 20202-4725

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

(B) If You Send Your Application by Mail:

You must mail the original and two copies of the application on or before the deadline date. To help expedite our review of your application, we would appreciate your voluntarily including an additional 5 copies of your application. Mail your application to:

U.S. Department of Education

Application Control Center

Attention: CFDA # 84.324

7<sup>th</sup> & D Streets, SW, Room 3671

Regional Office Building 3

Washington, DC 20202-4725

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

(C) If You Submit Your Application Electronically:

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the deadline date.

The regular hours of operation of the e-Grants Web site are 6:00 a.m. until 12:00 midnight (Washington, DC time) Monday - Friday and 6:00 a.m. Until 7:00 p.m. Saturdays. The system is unavailable on the second Saturday of every month, Sundays, and Federal holidays. Please note that on Wednesdays the Web site is closed for maintenance at 7:00 p.m. (Washington, DC time).

Notes:

(1) The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

(2) If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the date of mailing the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

(3) If your application is late, we will notify you that we will not consider the application.

(4) You must indicate on the envelope and--if not provided by the Department--in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number--and suffix letter, if any -- of the competition under which you are submitting your application.

(5) If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.



## PARITY GUIDELINES BETWEEN PAPER AND ELECTRONIC APPLICATIONS:

In FY 2002, the U.S. Department of Education is continuing to expand the pilot project, which began in FY 2000, which allows applicants to use an Internet-based electronic system for submitting applications. This competition is among those that have an electronic submission option available to all applicants. The system, called e-APPLICATION, formerly e-GAPS (Electronic Grant Application System), allows an applicant to submit a grant application to us electronically, using a current version of the applicant's Internet browser. To see e-APPLICATION visit the following address:

<http://e-grants.ed.gov>

Users of e-APPLICATION, a data driven system, will be entering data on-line while completing their applications. This will be more interactive than just e-mailing a soft copy of a grant application to us. If you participate in this voluntary pilot project by submitting an application electronically, the data you enter on-line will go into a database and ultimately will be accessible in electronic form to our reviewers.

This pilot project continues the Department's transition to an electronic grant award process. In addition to e-APPLICATION, the Department plans to expand the number of discretionary programs using the electronic peer review (e-READER) system and to increase the participation of discretionary programs offering grantees the use of the electronic annual performance reporting (e-REPORTS) system.

To help ensure parity and a similar look between electronic and paper copies of grant applications, we are asking each applicant that submits a paper application to adhere to the following guidelines:

- Submit your application on 8 ½" by 11" paper.
- Leave a 1-inch margin on all sides.

- Use consistent font throughout your document. You may also use boldface type, underlining, and italics. However, please do not use colored text.
- Please use black and white, also, for illustrations, including charts, tables, graphs and pictures.
- For the narrative component, your application should consist of the number and text of each selection criterion followed by the narrative. The text of the selection criterion, if included, does not count against any page limitation.
- Place a page number at the bottom right of each page beginning with 1; and number your pages consecutively throughout your document.

## Appendix

### Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address:

The Secretary  
EO 12372--CFDA# [commenter must insert number--including suffix letter, if any]  
U.S. Department of Education Room 7W301  
400 Maryland Avenue, SW.  
Washington, D.C. 20202

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

**PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.**

This publication by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). This publication incorporates the most recent revisions made by OMB. The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. However, the only official version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site <http://www.whitehouse.gov/omb/grants/spoc.html>. You may save a text version of this document at the aforementioned site. Please note it will be necessary to put a row of space between each state listing.

## STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>.

**States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.**

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [<http://www.cfda.gov/public/cat-app4-index.htm>]

<p><b>ARKANSAS</b></p> <p>Tracy L. Copeland  Manager, State Clearinghouse  Office of Intergovernmental Services  Department of Finance and Administration  1515 7<sup>th</sup> Street, Room 412  Little Rock, Arkansas 72203  Telephone: (501) 682-1074  FAX: (501) 682-5206  <a href="mailto:TlCopeland@dfa.state.ar.us">TlCopeland@dfa.state.ar.us</a></p>	<p><b>CALIFORNIA</b></p> <p>Grants Coordination  State Clearinghouse  Office of Planning and Research  P.O. Box 3044, Room 222  Sacramento, California 95812-3044  Telephone: (916) 445-0613  FAX: (916) 323-3018  <a href="mailto:State.clearinghouse@opr.ca.gov">State.clearinghouse@opr.ca.gov</a></p>
<p><b>DELAWARE</b></p> <p>Charles H. Hopkins  Executive Department  Office of the Budget  540 S. Dupont Highway , 3<sup>rd</sup> Floor  Dover, Delaware 19901  Telephone: (302) 739-3323  FAX: (302) 739-5661  <a href="mailto:Chopkins@state.de.us">Chopkins@state.de.us</a></p>	<p><b>DISTRICT OF COLUMBIA</b></p> <p>Luisa Montero-Diaz  Office of Partnerships and Grants Development  Executive Office of the Mayor  District of Columbia Government  414 4<sup>th</sup> Street, NW, Suite 530 South  Washington, DC 20001  Telephone: (202) 727-8900  FAX: (202) 727-1652  <a href="mailto:opgd.eom@dc.gov">opgd.eom@dc.gov</a></p>

<b>FLORIDA</b>  Jasmin Raffington Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 FAX: (850) 414-0479 <a href="mailto:clearinghouse@dca.state.fl.us">clearinghouse@dca.state.fl.us</a>	<b>GEORGIA</b>  Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 <a href="mailto:Gach@mail.opb.state.ga.us">Gach@mail.opb.state.ga.us</a>
<b>ILLINOIS</b>  Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-8485 <a href="mailto:Vbova@commerce.state.il.us">Vbova@commerce.state.il.us</a>	<b>IOWA</b>  Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 <a href="mailto:Steve.mccann@ided.state.ia.us">Steve.mccann@ided.state.ia.us</a>
<b>KENTUCKY</b>  Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 FAX: (502) 573-2512 <a href="mailto:Ron.cook@mail.state.ky.us">Ron.cook@mail.state.ky.us</a>	<b>MAINE</b>  Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 1461 (direct) FAX: (207) 287-6489 <a href="mailto:Joyce.benson@state.me.us">Joyce.benson@state.me.us</a>
<b>MARYLAND</b>  Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 West Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 <a href="mailto:Linda@mail.op.state.md.us">Linda@mail.op.state.md.us</a>	<b>MICHIGAN</b>  Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 <a href="mailto:pfaff@semcog.org">pfaff@semcog.org</a>
<b>MISSISSIPPI</b>  Cathy Mallette Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 FAX: (601) 359-6758	<b>MISSOURI</b>  Ewell Lawson Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 <a href="mailto:igr@mail.oa.state.mo.us">igr@mail.oa.state.mo.us</a>

<p><b>NEVADA</b></p> <p>Heather Elliott  Department of Administration  State Clearinghouse  209 E. Musser Street, Room 200  Carson City, Nevada 89701-4298  Telephone: (775) 684-0209  FAX: (775) 684-0260  <a href="mailto:Helliott@govmail.state.nv.us">Helliott@govmail.state.nv.us</a></p>	<p><b>NEW HAMPSHIRE</b></p> <p>Jeffrey H. Taylor  Director  New Hampshire Office of State Planning  Attn: Intergovernmental Review Process  Mike Blake  2½ Beacon Street  Concord, New Hampshire 03301  Telephone: (603) 271-2155  FAX: (603) 271-1728  <a href="mailto:Jtaylor@osp.state.nh.us">Jtaylor@osp.state.nh.us</a></p>
<p><b>NEW MEXICO</b></p> <p>Ken Hughes  Local Government Division  Room 201, Bataan Memorial Building  Santa Fe, New Mexico 87503  Telephone: (505) 827-4370  FAX: (505) 827-4948  <a href="mailto:Khughes@dfa.state.nm.us">Khughes@dfa.state.nm.us</a></p>	<p><b>NORTH CAROLINA</b></p> <p>Jeanette Furney  Department of Administration  1302 Mail Service Center  Raleigh, North Carolina 27699-1302  Telephone: (919) 807-2323  FAX: (919) 733-9571  <a href="mailto:Jeanette.furney@ncmail.net">Jeanette.furney@ncmail.net</a></p>
<p><b>NORTH DAKOTA</b></p> <p>Jim Boyd  Division of Community Services  600 East Boulevard Ave, Dept 105  Bismarck, North Dakota 58505-0170  Telephone: (701) 328-2094  FAX: (701) 328-2308  <a href="mailto:Jboyd@state.nd.us">Jboyd@state.nd.us</a></p>	<p><b>RHODE ISLAND</b></p> <p>Kevin Nelson  Department of Administration  Statewide Planning Program  One Capitol Hill  Providence Rhode Island 02908-5870  Telephone: (401) 222-2093  FAX: (401) 222-2083  <a href="mailto:knelson@doa.state.ri.us">knelson@doa.state.ri.us</a></p>

<p><b>SOUTH CAROLINA</b></p> <p>Omeagia Burgess  Budget and Control Board  Office of State Budget  1122 Ladies Street – 12<sup>th</sup> Floor  Columbia, South Carolina 29201  Telephone: (803) 734-0494  FAX: (803) 734-0645  <a href="mailto:Aburgess@budget.state.sc.us">Aburgess@budget.state.sc.us</a></p>	<p><b>TEXAS</b></p> <p>Denise S. Francis  Director, State Grants Team  Governor's Office of Budget and Planning  P.O. Box 12428  Austin, Texas 78711  Telephone: (512) 305-9415  FAX: (512) 936-2681  <a href="mailto:dfrancis@governor.state.tx.us">dfrancis@governor.state.tx.us</a></p>
<p><b>UTAH</b></p> <p>Carolyn Wright  Utah State Clearinghouse  Governor's Office of Planning and Budget  State Capitol, Room 114  Salt Lake City, Utah 84114  Telephone: (801) 538-1535  FAX: (801) 538-1547  <a href="mailto:Cwright@gov.state.ut.us">Cwright@gov.state.ut.us</a></p>	<p><b>WEST VIRGINIA</b></p> <p>Fred Cutlip, Director  Community Development Division  West Virginia Development Office  Building #6, Room 553  Charleston, West Virginia 25305  Telephone: (304) 558-4010  FAX: (304) 558-3248  <a href="mailto:fcutlip@wvdo.org">fcutlip@wvdo.org</a></p>
<p><b>WISCONSIN</b></p> <p>Jeff Smith  Section Chief, Federal/State Relations  Wisconsin Department of Administration  101 East Wilson Street – 6<sup>th</sup> Floor</p> <p>P.O. Box 7868  Madison, Wisconsin 53707  Telephone: (608) 266-0267  FAX: (608) 267-6931  <a href="mailto:Jeffrey.smith@doa.state.wi.us">Jeffrey.smith@doa.state.wi.us</a></p>	<p><b>AMERICAN SAMOA</b></p> <p>Pat M. Galea'i  Federal Grants/Programs Coordinator  Office of Federal Programs  Office of the Governor/Department  of Commerce  American Samoa Government  Pago Pago, American Samoa 96799  Telephone: (684) 633-5155  Fax: (684) 633-4195  <a href="mailto:pmgaleai@samoatelco.com">pmgaleai@samoatelco.com</a></p>

<b>GUAM</b>  Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 <a href="mailto:Jer@ns.gov.gu">Jer@ns.gov.gu</a>	<b>PUERTO RICO</b>  Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 FAX: (787) 722-6783
<b>NORTHERN MARIANA ISLANDS</b>  Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 FAX: (670) 664-2272 <a href="mailto:Omb.jseman@saipan.com">Omb.jseman@saipan.com</a>	<b>VIRGIN ISLANDS</b>  Ira Mills Director, Office of Management & Budget # 41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 FAX: (787) 776-0069 <a href="mailto:Irmills@usvi.org">Irmills@usvi.org</a>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to [grants@omb.eop.gov](mailto:grants@omb.eop.gov). If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management  
Office of Management and Budget  
New Executive Office Building, Suite 6025  
725 17<sup>th</sup> Street, NW  
Washington, DC 20503

**Please note:** Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (CFDA) [<http://www.cfda.gov/>].



**NOTICE TO ALL APPLICANTS**  
**(ENSURING EQUITABLE ACCESS)**  
**AND**  
**APPLICATION FORMS AND INSTRUCTIONS**

## NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

### *To Whom Does This Provision Apply?*

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### *What Does This Provision Require?*

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### *What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?*

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

#### Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651.

## APPLICATION FORMS AND INSTRUCTIONS

The application is divided into four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I: Application for Federal Education Assistance (ED 424) and Instructions.

Part II: Budget Information -- Non-Construction Programs (ED Form 524) and Instructions.

Part III: Application Narrative.

Part IV: Assurances and Certifications --

Assurances -- Non-Construction Programs (Standard Form 424B).

Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED Form 80-0013).

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions (ED Form 80-0014) and Instructions.

Disclosure of Lobbying Activities.

Important Notice to Prospective Participants in USDE Contract and Grant Programs.

An applicant may submit information on a photostatic copy of the application and budget forms, the assurances, and the certifications. However, the application form, the assurances, and the certifications must each have an original signature. No grant may be awarded unless a completed application form has been received.

# Application for Federal Education Assistance (ED 424)



U.S. Department of Education

Form Approved  
OMB No. 1875-0106  
Exp. 11/30/2004

## Applicant Information

### 1. Name and Address

Legal Name: \_\_\_\_\_

Address: \_\_\_\_\_

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

3. Applicant's T-I-N |\_|\_|\_| - |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

4. Catalog of Federal Domestic Assistance #: **84.** |\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|\_|

Title: \_\_\_\_\_

5. Project Director: \_\_\_\_\_

Address: \_\_\_\_\_

City State Zip code + 4

Tel. #: ( ) - Fax #: ( ) -

E-Mail Address: \_\_\_\_\_

6. Novice Applicant \_\_\_ Yes \_\_\_ No

7. Is the applicant delinquent on any Federal debt? \_\_\_ Yes \_\_\_ No  
(If "Yes," attach an explanation.)

8. Type of Applicant (Enter appropriate letter in the box.) |\_\_\_\_|

A - State F - Independent School District  
B - Local G - Public College or University  
C - Special District H - Private, Non-profit College or University  
D - Indian Tribe I - Non-profit Organization  
E - Individual J - Private, Profit-Making Organization

K - Other (Specify): \_\_\_\_\_

## Application Information

### 9. Type of Submission:

*-PreApplication -Application*  
\_\_\_ Construction \_\_\_ Construction  
\_\_\_ Non-Construction \_\_\_ Non-Construction

### 10. Is application subject to review by Executive Order 12372 process?

\_\_\_ Yes (Date made available to the Executive Order 12372  
process for review): \_\_\_/\_\_\_/\_\_\_  
\_\_\_ No (If "No," check appropriate box below.)  
\_\_\_ Program is not covered by E.O. 12372.  
\_\_\_ Program has not been selected by State for review.

11. Proposed Project Dates: \_\_\_/\_\_\_/\_\_\_

Start Date: End Date:

### 12. Are any research activities involving human subjects planned at any time during the proposed project period?

\_\_\_ Yes (Go to 12a.) \_\_\_ No (Go to item 13.)

### 12a. Are all the research activities proposed designated to be exempt from the regulations?

\_\_\_ Yes (Provide Exemption(s) #): \_\_\_\_\_

\_\_\_ No (Provide Assurance #): \_\_\_\_\_

### 13. Descriptive Title of Applicant's Project:

## Estimated Funding

14a. Federal \$ \_\_\_\_\_ . 00

b. Applicant \$ \_\_\_\_\_ . 00

c. State \$ \_\_\_\_\_ . 00

d. Local \$ \_\_\_\_\_ . 00

e. Other \$ \_\_\_\_\_ . 00

f. Program Income \$ \_\_\_\_\_ . 00

g. TOTAL \$ \_\_\_\_\_ . 00

## Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

\_\_\_\_\_

b. Title: \_\_\_\_\_

c. Tel. #: ( ) - Fax #: ( ) -

d. E-Mail Address: \_\_\_\_\_

e. Signature of Authorized Representative

\_\_\_\_\_ Date: \_\_\_/\_\_\_/\_\_\_

## Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.  
  
Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. Type of Submission.** See "Definitions for Form ED 424" attached.
- 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
- 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

**If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

**If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

**12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

**12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

**Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

**13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing

project location. For preapplications, use a separate sheet to provide a summary description of this project.

enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

**14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

**15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please

***Paperwork Burden Statement.*** According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. ***If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3671, Washington, D.C. 20202-4725***

## Definitions for Form ED 424

**Novice Applicant (See 34 CFR 75.225).** For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

**Type of Submission.** "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

**Executive Order 12372.** The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

## PROTECTION OF HUMAN SUBJECTS IN RESEARCH

### I. Definitions and Exemptions

#### A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

#### —Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an*

*activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are

conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

#### —Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

#### B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally



identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

## **II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives**

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

### **A. Exempt Research Narrative.**

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

### **B. Nonexempt Research Narrative.**

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria

for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

*Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>*

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A – BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization	Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.
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**SECTION B – BUDGET SUMMARY**  
**NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

**SECTION C - OTHER BUDGET INFORMATION (see instructions)**

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

## **INSTRUCTIONS FOR ED FORM 524**

### General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

### Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

### Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If

non-Federal contributions are provided for only one year, leave this space blank.

### Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

### PART III - APPLICATION NARRATIVE

This narrative section of the application requires applicants to address the selection criteria that will be used by reviewers in evaluating individual applications. Please refer to the “Selection Criteria and Format” sections in this package for the competition to which you wish to submit an application.

Also, all of the competitions covered by this package have page limitations for the application narrative. Please refer to the “Page Limits” information for the competition to which you wish to submit an application.



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED



## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about-

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will -

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 600 Independence Avenue, S.W. (Room 3600, GSA Regional Office Building No. 3), Washington, DC 20202-4130. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs

(a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants and Contracts Service, Department of Education, 600 Independence Avenue, S.W. (Room 3600, GSA Regional Office Building No. 3), Washington, DC 20202-4130. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

# Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

## Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered

transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

## Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

## Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application _____ b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing _____ b. material change  <b>For material change only:</b> Year _____ quarter _____ Date of last report _____
<b>4. Name and Address of Reporting Entity:</b> _____ Prime      _____ Subawardee Tier _____, if Known:   <b>Congressional District, if known:</b>		<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>      <b>Congressional District, if known:</b>
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b>	<b>9. Award Amount, if known:</b>  \$	
<b>10. a. Name and Address of Lobbying Registrant</b> <i>(if individual, last name, first name, MI):</i>	<b>b. Individuals Performing Services</b> <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>		<b>Signature:</b> _____  <b>Print Name:</b> _____  <b>Title:</b> _____  <b>Telephone No.:</b> _____ <b>Date:</b> _____
<b>Federal Use Only</b>		<b>Authorized for Local Reproduction</b> <b>Standard Form - LLL (Rev. 7-97)</b>

## INSTRUCTIONS FOR COMPLETION OF SELL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

IMPORTANT NOTICE  
TO PROSPECTIVE PARTICIPANTS  
IN THE U.S. DEPARTMENT OF EDUCATION  
CONTRACT AND GRANT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that -

Failure to meet a deadline will mean that an application will be  
rejected without any consideration whatever.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-9371. (Send check or money order only, on cash or stamps.)

The instructions in the federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education  
Application Control Center  
Washington, DC 20202-4725

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulation and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with other, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBS is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$ 49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED Mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED Form 5548 8/92 REPLACES ED FORM 5548, 6/86 WHICH IS OBSOLETE  
Standard Form - LLL- A

**NOTICE TO ALL APPLICANTS:**  
**The Government Performance and Results Act (GPRA)**

## What is GPRA

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

## How has the United States Department of Education Responded to the GPRA Requirements?

As required by GPRA, the United States Department of Education (the Department) has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- Goal 1:* Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.
- Goal 2:* Build a solid foundation for learning for all children.
- Goal 3:* Ensure access to postsecondary education and lifelong learning.
- Goal 4:* Make the United States Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.

WHAT ARE THE PERFORMANCE INDICATORS FOR THE IDEA: RESEARCH AND INNOVATION; PERSONNEL PREPARATION; TECHNICAL ASSISTANCE AND DISSEMINATION; PARENT INFORMATION; TECHNOLOGY AND MEDIA SERVICES; AND STUDIES AND EVALUATION PROGRAMS WHICH ONE OR MORE MAY BE INCLUDED IN THIS ANNOUNCEMENT?

THE PROGRAM(S) INCLUDED IN THIS ANNOUNCEMENT ARE AUTHORIZED UNDER PART D OF THE INDIVIDUALS WITH DISABILITIES EDUCATION ACT, TITLED "NATIONAL ACTIVITIES TO IMPROVE EDUCATION OF CHILDREN WITH DISABILITIES". THE DEPARTMENT'S SPECIFIC GOAL FOR THE IDEA NATIONAL ACTIVITIES PROGRAMS IS "to link best practices to states, school systems, and families to improve results for infants, toddlers, and children with disabilities." The objectives and performance indicators for these programs are as follows:

Objective 1. Programs respond to critical needs of children with disabilities and their families.

Indicator 1.1 Responsive to needs. The percentage of idea program activities that are determined by expert panels to respond to critical needs of children with disabilities and their families will increase. (a) research and innovation, (b) technology, (c) personnel preparation, (d) technical assistance, and (e) state improvement.

Objective. 2. Projects use high quality methods and materials.

Indicator 2.1 Highest standards for methods and materials. Expert panels determine that idea-funded projects use exceedingly high-quality methods and materials. (a) research and

innovation (b) technology (c) personnel preparation (d) technical assistance (e) state improvement.

Objective 3. Projects communicate appropriately and products are used to improve results for children with disabilities and their families.

Indicator 3.1 Communication. The percentage of idea-funded projects that communicate appropriately with target audiences will increase. (a) research and innovation (b) technology (c) personnel preparation (d) technical assistance

Indicator 3.2 Use results. Expert panels determine that practitioners, including policy-makers, administrators, teachers, parents, or others as appropriate, use products and practices developed through idea programs to improve results for children with disabilities. (a) research and innovation (b) technology (c) personnel preparation (d) technical assistance (e) state improvement

Objective 4. Personnel are prepared to serve children with disabilities.

Indicator 4.1 Persons trained serve children. The percentage of persons who obtain their degrees with idea support and serve children with disabilities as teachers, early intervention personnel, related services personnel, or leadership personnel within 3 years of receiving their degrees will increase.

Indicator 4.2 Minority institutions. The percentage of idea grants for personnel preparation awarded to historically black colleges and universities and other minority institutions, including tribal colleges, will increase.

Indicator 4.3 Minority and disabled personnel. The percentage of personnel who are minority and the percentage who are disabled who receive financial assistance for training under idea will increase.

Objective 5. Families receive information about services for children with disabilities.

Indicator 5.1 Informed families. The percentage of families that report that the training and technical assistance received from the parent information and training centers made a positive difference in their child's supports and services will increase.

Indicator 5.2 Families served. The percentage of families of children with disabilities, particularly minority families that receive services from parent training and information programs will increase.

The Office of Special Education Programs has developed a comprehensive plan for responding to our GPRA requirement. A website is available with additional information on how each indicator is measured including the process and instruments used. Applicants to Part D funded projects are encouraged to use this information as they prepare their applications. The website address is: <http://www.air.org/gpra/newhome.htm>



## DUNS Number Instructions

D-U-N-S No.: Please provide the applicant's D-U-N-S Number. You can obtain your D-U-N-S Number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

<http://www.dnb.com/dbis/aboutdb/intlduns.htm>

The D-U-N-S Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

Dun & Bradstreet, a global information services provider, has assigned D-U-N-S numbers to over 43 million companies worldwide.

## **GRANT APPLICATION RECEIPT ACKNOWLEDGEMENT\_\_\_\_\_**

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If you fail to receive the notification of application within fifteen (15) days from the closing date, call:

U.S. Department of Education  
Application Control Center  
(202) 708-9493

## **GRANT AND CONTRACT FUNDING INFORMATION\_\_\_\_\_**

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The Department of Education provides information about grant and contract opportunities electronically in several ways:

ED Internet Home Page	<a href="http://www.ed.gov/"><u>http://www.ed.gov/</u></a>	(WWW address)
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